457 Third Party Administrator File Formats

Note: The 457 Third Party Administrator (TPA) is not an employer, but an investment service which administrates the 457 plan, investments, and reporting.

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Includes the interface definitions for Employer Reporting File (SPS-300-06)

1.1 Daily Account Balance File

This daily incoming DC and 457 account balance file from TPA is submitted to Neospin™ via Upload Screen by the user. The file is delimited by '~'. The file contains the following variable length records identified by the first three characters of the record:

(1) *File Header Section* – Contains information about the file such as total number of records and date time stamp the file is generated. The record starts with numeric '001'.
(2) *Daily Account Balance Detail Section* – Contains DC and 457 account balance information for the member. The record starts with numeric '111'. The DC and 457 account balance section is always preceded by the File Header Section.

1.1.1 File Layout

Daily Account Balance Detail Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
1	Daily Account Balance Detail ID	3	Identifies the Detail record. The value should always be '111'.
2	Person ID	9	Person ID of the employee. • Cannot be null • Must be numeric • No alphabets or special characters allowed • Should be unique in this detail section
3	Account Balance	9	Account balance for the employee. • Allowed 9 decimal values with 2 precision • Allowed only numbers and special character (.) period • e.g. 34.50
4	Plan	3	Employee plan detail • DC • 457

1.1.1 File Properties

NAME	DESCRIPTION
File Type	Inbound
Root Directory	N/A
Mailbox Subdirectory	N/A
Staging Subdirectory	Staging
Process Subdirectory	Processed
Error Subdirectory	Error
Layout File	N/A
File Delimiter	~
Email Notification	Yes
Nightly Batch Run	Yes
Name of the File	Can have any name. It should be .csv file

1.1.2 File Validations

The file must execute validations based on the fields defined in File Layout 1.1.1.

1.2 Indicative – Response File

This outgoing interface file is generated by the PERIS application on a daily basis. The generated file will be uploaded to the TPA using web services or the FTP process. PERIS will generate the file per the file specifications and will place the generated Indicative file in a shared folder.

(1) *Detail Section* – Contains information about the Indicative – Response File layout.

1.2.1 File Header Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
None			

1.2.2 Sub Header Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
None			

1.2.3 Detail Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
1	Plan Number	8	Required field Plan Number • DC populate 98469 – 02 • 457 populate 98469 – 01
2	Employee SSN	9	Required field 999999999
3	Division Number	4	Not Required. Populate Null
4	Last Name	35	Required field
5	First Name	20	Required field
6	Middle Initial	1	Optional
7	Name Suffix	15	Optional
8	Birth Date	10	Required Format: MM/DD/YYYY
9	Gender	1	Optional M=Male, F=Female, U=Unknown
10	Marital Status	1	Required field • M=Married • S=Single • D=Divorced • W=Widowed
11	Address Line 1	35	Required field
12	Address Line 2	35	Optional If there is no address line 2 populate null
13	City	20	Required field
14	State	2	Required field Upper Case
15	Zip Code / Zip Code + 4	10	Required field Format: 99999 or 99999-9999

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
16	Home Phone	10	Optional
17	Work Phone	10	Optional
18	Work Phone Ext	4	Optional
19	Country Code	2	Optional. Populate null if all the member live in USA
20	System Hire Date	10	Required field MM/DD/YYYY
21	Termination Date	10	Optional. Format: MM/DD/YYYY
22	Re-Hire Date	10	Optional Format: MM/DD/YYYY
23	Ending Payroll date	10	Optional Format: MM/DD/YYYY Current ending payroll date
24	Contribution Amount 1	10	9999999.99 BEF - Before Tax Amt
25	Contribution Amount 2	10	9999999.99 BEF - After Tax Amt
26	Contribution Amount 3	10	9999999.99 Employer contribution
27	Contribution Amount 4	10	Optional field for future contribution sources
28	Contribution Amount 5	10	Optional field for future contribution sources
29	Contribution Amount 6	10	Optional field for future contribution sources
30	Contribution Amount 7	10	Optional field for future contribution sources
31	Contribution Amount 8	10	Optional field for future contribution sources
32	Participation Date	10	Required Format: MM/DD/YYYY
33	Eligibility Code	1	Always Yes for the new enrollment
34	Email Address	40	Optional
35	Salary Amount	17	99999999.99 Refer to SPS-305-01 BR for more details Salary for the employee for a given pay period. If providing Salary Amount, it is required to provide Salary Amount Qualifier
36	Salary Amount Qualifier	2	Employer reporting cycle A=Annual, M= Monthly, S= Semi-Monthly, B= Bi-Weekly, H= hourly, and W= Weekly
37	Employer Assigned ID	10	EMPL ID for Central Payroll agencies Otherwise blank
38	Person ID	10	Required Unique ID generated in PERIS

1.2.4 Sub Header Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
None			

1.2.5 Detail Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
None			

1.2.6 File Properties

NAME	DESCRIPTION
File Type	Outbound
Root Directory	N/A
Mailbox Subdirectory	N/A
Staging Subdirectory	Staging
Process Subdirectory	Processed
Error Subdirectory	Error
Layout File	N/A
File Delimiter	~
Email Notification	Yes
Nightly Batch Run	Yes
Name of the File	Can have any name. It should be .csv file

1.2.7 File Validations

The file must execute validations based on the fields defined in File Layout 1.2.

1.3 Deferral File

This incoming 457 deferral file (SDA) from TPA is submitted to Neospin™ via Upload Screen by the user. The file is delimited by '~'. The file contains the following variable length records identified by the first three characters of the record:

(1) *File Header Section* – Contains information about the file such as employer ID, year, payroll frequency, and the date time stamp the file is generated. The record starts with numeric '001'.

(2) *457 Contribution Detail Section* – Contains 457 contribution detail information for the employee member. The record starts with numeric '111'. The 457 contribution Detail Section is always preceded by the File Header Section.
NOTE: A 457 contribution information stub record should exist for all the details records within the file. Uploaded file is not processed otherwise.

1.3.1 File Layout

File Header Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
1	Record Type	2	Identifies the Header record. The value should always be '01'
2	Program Name	8	Always 'GQ19OEDF'

Deferral Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
1	Record Type	2	Identifies the Detail record. The value should always be '03'
2	Plan Number	13	Required field Plan Number

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
			• DC populate 98469 – 02 • 457 populate 98469 – 01
3	Plan Name	100	Required field DC: Deferred Compensation 457: 457
4	Subset Basis	4	Not Required
5	Subset Value	4	Not Required
6	Client Div Code	20	Not Required
7	Employment Type	20	Not Required
8	Employee ID	10	Populate EMPL ID for SABHRS employers and Blank for Non-SABHRS employers
9	SSN	9	Social Security Number of the employee. • Cannot be null • Must be numeric • No alphabets or special characters allowed • Should be unique in this detail section
10	SSN Extension	3	Not Required
11	SSN Extension Reason Code	10	Not Required
12	Last Name	35	Required
13	First Name	20	Required
14	Middle Name	20	Optional
15	System Hire Date	8	System hire date of the member. Format: YYYYMMDD
16	Before Tax Deduction Percent	5,2	Pre Tax % Contribution for the employee. • Allowed 5 decimal values with 2 precision • Allowed only numbers and special character (.) period • e.g. 34.50 Should be Null if $ Contribution – Post Tax is not Null
17	Before Tax Deduction Amount	8,2	Pre Tax Contribution for the employee. • Allowed 8 decimal values with 2 precision • Allowed only numbers and special character (.) period • e.g. 600000.50 Should be Null if % Contribution – Post Tax is not Null
18	Default Indicator	1	Not Required
19	After Tax Deduction Percent	5,2	Post Tax % Contribution for the employee. • Allowed 5 decimal values with 2 precision • Allowed only numbers and special character (.) period • e.g. 34.50 Should be Null if $ Contribution – Pre Tax is not Null
20	After Tax Deduction Amount	8,2	Post Tax Contribution for the employee. • Allowed 8 decimal values with 2 precision

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
			• Allowed only numbers and special character (.) period • e.g. 600000.50 Should be Null if % Contribution – Pre Tax is not Null
21	ROTH Deduction Percent	5	Post Tax % Contribution for the employee. • Allowed 5 decimal values with 2 precision • Allowed only numbers and special character (.) period • e.g. 34.50 Should be Null if $ Contribution – Post Tax is not Null
22	ROTH Deduction Amount	8	Post Tax Contribution for the employee. • Allowed 8 decimal values with 2 precision • Allowed only numbers and special character (.) period • e.g. 600000.50 Should be Null if % Contribution – Post Tax is not Null
23	50+ Catch-up Eligibility Indicator	1	Optional "Y" or "N"; populated if participant meets age eligibility for Catchup
24	Age Catch-up Deduction Percent	5	Two decimal places implied
25	Age Catch-up Deduction Amount	8	Two decimal places implied
26	AGE ROTH Deduction Percent	5	Two decimal places implied
27	AGE ROTH Deduction Amount	8	Two decimal places implied
28	Hardship End Date	8	Not Required YYYYMMDD
29	Heart Suspension End Date	8	Optional YYYYMMDD
30	Catch-up Indicator	1	Required Field "Y", "N", or blank
31	Maximum Catch-up Amount	8	Optional Two decimal places implied
32	Catch-up End Date	8	Optional YYYYMMDD
33	MEA (Maximum Exclusion Allowance) End Date	8	Not Required YYYYMMDD
34	Balloon End Date	8	Not Required YYYYMMDD
35	Deferral Change Date & Time	14	Optional YYYYMMDDHH24MISS
36	Payroll Effective date	8	Payroll Effective date. • Valid date in YYYYMMDD format • No letters or special characters • e.g. 20091012 – First 4 digits represent year, followed by 2 digit month and 2 digit day Note: For single digit months (i.e. January through September), the month value should be preceded by a 0 (January = 01, February – 02, etc.). For single digit days (i.e. 1

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
			through 9), the day should be preceded by a 0 (01, 02, etc.).
37	Cutoff Date	8	Same as Payroll Effective Date
38	401(k) Variable/Bonus Percent	5	Not Required Two decimal places implied
39	401(k) Variable/Bonus Deduction Amount	8	Not Required Two decimal places implied
40	Roth Variable/Bonus Percent	5	Not Required Two decimal places implied
41	Roth Variable/Bonus Deduction Amount	8	Not Required Two decimal places implied
42	Variable/Bonus Employee Catch Up Deferral Percent	5	Not Required Two decimal places implied
43	Variable/Bonus Employee Catch Up Deferral Amount	8	Not Required Two decimal places implied
44	One-Time Deferal	1	One-time deferral indicator. Allowed values are 'Y', 'N' or Blank
45	Space Not Currently Used	155	Not Required
46	New line character	1	Not Required

File Trailer Section

FIELD POSITION	FIELD NAME	FIELD LENGTH	FIELD DESCRIPTION
1	Record Type	2	Identifies the Header record. The value should always be '99'
2	Program Name	10	Number of Details records

1.3.2 File Properties

NAME	DESCRIPTION
File Type	Inbound
Root Directory	N/A
Mailbox Subdirectory	N/A
Staging Subdirectory	Staging
Process Subdirectory	Processed
Error Subdirectory	Error
Layout File	N/A
File Delimiter	~
Email Notification	Yes
Nightly Batch Run	Yes
Name of the File	Can have any name. It should be .csv file

1.3.3 File Validations

The file must execute validations based on the fields defined in File Layout 1.3.